

HOME PROTECTION COMPANIES

REQUIRED FILINGS IN THE STATE OF: CALIFORNIA

Filings Made During the Year 2014

(1) Check-list	(2) Line #	(3) REQUIRED FILINGS	(4) NUMBER OF COPIES	(5) CA Required Electronic Filing Format (.PDF, .XLS)	(6) DUE DATE	(7) FORM SOURCE	(8) APPLICABLE NOTES
			CA Domestic				
		I. NAIC FINANCIAL STATEMENTS					
	1	Annual Statement (8 ½” x 14”)	1	PDF (Signed) & XLS Original signature page(s) required	3/1	CA	FAD201
	2	Quarterly Financial Statement (8 ½” x 14”)	1	PDF (Signed) & XLS Original signature page(s) required	5/15, 8/15, 11/15	CA	FAD201
	3	Management Discussion & Analysis	1	PDF	4/1	Company	FAD350 A
	4	California Affidavit – Declaration to Valuation of Property & Securities/Verification	1	PDF (Signed) Original signature page(s) required	3/1	CA	FAD105
	5	Authorization for Disclosure of Financial Records	1	PDF (Signed) Original signature page(s) required	3/1	CA	FAD107
	6	Form B (Holding Company Registration Statement)	1	PDF (Signed) Original signature page(s) required	4/30	NAIC	FAD500 B
	7	Form C (Summary of Registration Statement)	1	PDF (Signed) Original signature page(s) required	4/30	NAIC	FAD501 B
	8	Form F (Enterprise Risk Report)	1	PDF	4/30, when applicable	NAIC	FAD502 C

GENERAL INSTRUCTIONS

Contact Information

For questions regarding filings, please contact Financial Records Unit at (213)346-6423/[Financial\\_Records@insurance.ca.gov](mailto:Financial_Records@insurance.ca.gov) or visit the California Department of Insurance (“CDI”) website at: <http://www.insurance.ca.gov>.

Submission

All electronic filings must be made via the Online Assistance System for Insurer Submittals (“OASIS”). For documents requiring original signature(s)/certification/notarization, the electronic PDF file must contain the required signature(s)/certification/notarization.

All original signature pages must be mailed to:

California Department of Insurance  
Financial Analysis Division, Financial Records Unit  
300 South Spring Street, South Tower, 13<sup>th</sup> Floor  
Los Angeles, CA 90013

Original Signatures and Signature/Notarization/Certification

Refer to California Insurance Code Section (“CICS”) 903 and CICS 903.5 for guidance. For signature(s), please use BLUE INK.

Note: As of January 1, 2008, all documents notarized in the state of California must comply with Section 8202 of the Government Code and Section 1185 of the Civil Code in reference to establishing an affiant’s identity.

Late Filings

All filings must be submitted before 12:00 midnight of the due date. Any company that fails to make a timely and complete filing may be subject to penalties.

Amended Filings

Amended items must be filed timely. If there are signature requirements for the original filing, same should be followed for any subsequent amendment. Please contact Financial Records Unit at (213) 346-6423 or [Financial\\_Records@insurance.ca.gov](mailto:Financial_Records@insurance.ca.gov) prior to submitting any amendment via OASIS.

Request for Extension/Exemption to File

Not all documents can be given an extension of time to file or to be exempted from filing. Please refer to applicable CIC or California Code of Regulations (“CCR”) for guidance. Unless otherwise specified in the CIC or CCR, the request must be received by the Department at least 30 days prior to the filing due date. Please e-mail your request directly to the Financial Records Unit at [Financial\\_Records@insurance.ca.gov](mailto:Financial_Records@insurance.ca.gov).

NONE or N/A Filings

When there is nothing to report or the form is not applicable, the word “NONE” or “N/A” must appear stamped/written on the required form. Company information must be filled in (e.g., Company name and CA ID #).

Column (1) Checklist

Place an “x” in this column when mailing information to the state.

Column (2) Line #

Line # refers to a standard filing number used for reference only. This line number may change from year to year.

Column (3)	<b>Required Filings</b>  Name of form or document to be filed.
Column (4)	<b>Number of Copies</b>  Indicates the number of copies that each domestic company is required to file for each type of form.
Column (5)	<b>CA Required Electronic Filing Format</b>  <u>Adobe PDF (PDF)</u> For document requiring original signature(s)/certification/notarization, the PDF file must contain the required signature(s)/certification/notarization.  <u>MS Excel (XLS)</u> For document requiring an Excel version, the related form is provided on our Website. The Excel version does not require signature(s)/certification/notarization.
Column (6)	<b>Due Date</b>  Indicates the date on which the company must file the form.
Column (7)	<b>Form Source</b>  <ul style="list-style-type: none"><li>CA = CDI will prescribe the forms with the filing instructions.</li><li>Company = Company, or its representative is expected to provide the form.</li></ul>
Column (8)	<b>Applicable Notes</b>  This column contains references to the Notes that apply to each item listed on the checklist. It also contains the CDI form numbers (in red) for reference only.

NOTES

A	Management Discussion and Analysis	Instructions for the Management Discussion and Analysis can be found on the Applications, Forms & Filings page of the CDI website, under “Insurers.” <a href="http://www.insurance.ca.gov">http://www.insurance.ca.gov</a>
B	Forms B and C (Holding Company Registration Statement and Summary)	Apply to California domestic and commercially domiciled insurers only.
C	Form F (Enterprise Risk Report)	Refer to CICS 1215.4 (m) for guidance. For questions, please e-mail <a href="mailto:lom@insurance.ca.gov">lom@insurance.ca.gov</a> .